

Case Recording

.01 AUTHORITY

[Wisconsin Administrative Code DOC 328.02 \(2\)\(j\)](#)

.02 GENERAL STATEMENT

It is the agent's responsibility to record all activity associated with a case in the client's case record. Case notes are the business records of the Department and are to be recorded in a professional manner. It should be noted that these records are subject to release under the open records law.

.03 CASE RECORDING

Case notes are maintained by the agent on each client in [COMPAS](#). The agent must record all contacts with the client and with any collateral source associated with the case within three business days. Critical incidents, such as violations, apprehensions, or police or victim contacts, must be recorded no later than the next business day. This includes personal contacts, telephone contacts, or any other type of case-related communication. The case notes must give a description of the nature of each contact. Concise and accurate information is essential. Decisions made regarding case action must be documented in the case notes. Staff shall not express personal opinions regarding case actions, decisions or procedures. If contact is made by someone other than the agent of record, the notes must indicate the name of the staff having the contact.

Notes should be entered directly into [COMPAS](#) and not inserted from another document.

Source documents should be summarized when possible and lengthy text should not be copied from another source into the notes. The original document can be stored electronically with other file information or printed for the file.

Case notes shall be printed at the following times:

- Prior to revocation hearing
- Open records request
- As deemed necessary by agent or unit supervisor

.04 NOTE TYPES

There are five types of notes that will be utilized:

General Notes	Entries under this type of note will be related to any general documentation of case activity that is not directly related to the assessment or case plan.
Supervision Contact Notes	Supervision Contact notes should be used for any client contact that would be considered a face to face contact with quality case planning. Collateral and employment contacts that are required as contact standards should also be entered as a Supervision Contact note. In order for contacts to be removed from the agent’s task due list, the agent must select the corresponding contact under the “Supervision Contact Type” dropdown menu. The note subtype is where the agent will document whether the supervision contact was on office visit, video visit, or a home visit.
Case Plan Notes	Entries under this type will include ongoing updates related to progress, completion, or modification to the unified case plan, but will not include information provided directly by program providers. The Case Plan Notes section is utilized during every meeting with the client in order to document the ongoing, collaborative case planning process.
Program Notes	Entries under this type will include information provided directly from program providers by phone, mail, e-mail, in person, etc.
Assessment Notes	Entries under this type will include anything related specifically to the assessment only.
Home Visit Notes	Home visit notes will document scheduled or unscheduled visits to a Client's reported residence/property where the client resides. Within the home visit note, the agent must set the next home visit due date in order for the next home visit date to show due on the agent’s task due list in Workload Manager.

Up to three note subtypes may be selected for each note type.

Use of the Confidential Notes Button:

The confidential button in COMPAS notes shall be checked for any confidential information including all individually identifiable medical, dental, mental health and AODA information. This includes diagnosis of a need for medical, dental, mental health and AODA treatment; and any health care services (treatment) provided; victim information (phone number, address, sensitive crime details, victim input on early discharge, etc.), and involvement as a confidential informant. This information shall be stored in a separate note than other non-confidential information. Confidential information should not be combined with non-confidential information and saved as one note.

05. CLIENT RESIDENTIAL CONTACT RECORDING

A primary address is required to be in COMPAS for every client who is on active supervision in the community. "In the community" means not incarcerated or confined in the Wisconsin State Prison System. Designated staff will enter and update client address and phone information in the "Contact Information" field under Person Summary. Date resided means the date the client first resided at the residence. This information is not required to be documented in a Note. All addresses should be entered following the DCC Client Address Standards and Guidelines. The primary box should be checked for the current address and phone. When the primary box is checked, the address will appear on the printed caseload listing. If the client has been deported, select "Foreign Country" from the "State" drop down menu.

06. CAUTIONARY FIELDS

Agents can add cautionary information in the client's COMPAS case record. When information is entered, an alert will appear on the Person Summary page in COMPAS.

Options for cautionary information include:

Aggressive Pets: Agents should document any known pets that may pose a safety risk to staff.

Antagonistic Family Members/Roommates: Agents should document any family members or roommates who may pose a safety risk to staff.

Threat/Assault against DOC Staff: In addition to a WICS incident report, staff shall enter any assaultive behavior and/or threats against DOC Staff. See [Use of Force](#)

Prior Threats/Assaults to Law Enforcement: Staff should document any history of assaultive behavior towards law enforcement, including non-cooperation with the arrest or detention process.

Weapons: Staff shall document circumstances involving weapons which may pose a safety risk to staff. Examples include but are not limited to: Active apprehension request due to weapons-related violations or known weapons in the residence.

Supervised as a Sex Offender: In addition to the flag in WICS, staff may use this information to readily identify those cases being supervised as a sex offender. Use of this cautionary field may be useful particularly for those cases being supervised based on a historical sex offense or those cases not assigned to a specialty caseload.

Opiate History: This cautionary field readily identifies individuals with an Opioid use history as identified on the DOC-2945 Opioid Use History Questionnaire or through other verifiable sources.

Special Rules: Staff shall identify special rules for each rule warranting custody. Entries into cautionary information for this purpose shall be reviewed for continued applicability at least every 6 months or when completing the CSR.

If a change in cautionary status occurs, e.g. death of a pet, an end date for the alert shall be recorded. This will remove the active alert on the Person Summary page, however, historical cautionary information will be retained in the module. Information should be recorded in the respective fields as intended. Protected health information shall not be entered in the cautionary information field.